

032604

156.P01

15281 U.S. PTO

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

P25056

Total Pages

Inventor(s) or Application Identifier

Koichi SHIMOKAWA and Masafumi ISHIYAMA

Title: MAGNETIC DISK AND METHOD OF  
MANUFACTURING

ADDRESS TO:

Commissioner for Patents  
Mail Stop Patent Application  
PO Box 1450  
Alexandria, VA 22313-145017510 U.S. PTO  
10/809352

032604

## APPLICATION ELEMENTS

## ACCOMPANYING APPLICATION PARTS

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
  - a. ☐ Small Entity Statement(s)
3. ☒ Specification (preferred arrangement set forth below) [Total Pages 25]
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 1]
5. ☒ Oath or Declaration [Total Pages 3]
  - a. ☐ Newly executed (original or copy) ☒ Unexecuted
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 20 completed)  
[Note Box 6 below]
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Incorporation By Reference (useable if Box 5b is checked)  
The entire disclosure of the prior application, from which a  
copy of the oath or declaration is supplied under Box 5b, is  
considered as being part of the disclosure of the accompanying  
application and is hereby incorporated by reference therein.
7. ☐ Application Data Sheet. See 37 CFR 1.76
8. ☐ CD-Rom or CD-R in duplicate, large table or Computer  
Program (Appendix)

9. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies
10. ☐ Assignment Papers (cover sheet & document(s))
11. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
12. ☐ English Translation Document (if applicable)
13. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
14. ☒ Preliminary Amendment
15. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
16. ☒ Figure of Drawing to be published 1
17. ☒ Foreign priority claimed
  - a. ☒ Claim of Priority
  - b. ☒ Certified Copy of Priority Document(s)
18. ☐ Nonpublication Request under 35 U.S.C. 122 (b) (2) (B) (i).  
Applicant must attach form PTO/SB/35 or its equivalent.
19. ☒ Assignee: HOYA CORPORATION of Tokyo, Japan  
and HOYA MAGNETICS SINGAPORE PTE.  
LTD. of Singapore
20. ☒ Other: Cover Letter Filed Under 37 CFR 1.53(b) & (f)

21. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 C.F.R. 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior Application No. \_\_\_\_\_ filed \_\_\_\_\_  
 Prior application information: Examiner: \_\_\_\_\_ Group Art Unit: \_\_\_\_\_
Address all future correspondence to **Customer No. 7055** at the present address of:

GREENBLUM &amp; BERNSTEIN, P.L.C.

1950 Roland Clarke Place  
Reston, VA 20191  
(703) 716-11913/26/04  
Date
  
 Signature Reg No  
33,329

 Bruce H. Bernstein, Reg. No. 29,027  
 Typed or Printed Name

032604

1328  
P25056-P02  
U.S. PTO

## FEE TRANSMITTAL

## Complete if Known

Application Number	Not Yet Assigned
Filing Date	Concurrently Herewith
First Named Inventor	Koichi SHIMOKAWA et al.
Group Art Unit	Unassigned
Examiner Name	Unassigned
TOTAL AMOUNT OF PAYMENT	(\$) <u>856.00</u>
Attorney Docket Number	P25056

## METHOD OF PAYMENT (check one)

- 1.
- ☒
- The U.S. Patent and Trademark Office is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 19-0089Deposit Account Name GREENBLUM & BERNSTEIN, P.L.C.

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17, including any required extension of time fees in any concurrent or future
- ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b)

reply requiring a petition for extension of time for its timely submission (37 CFR 1.136(a)(3))

☐ Applicant Claims Small Entity Status See 37 CFR 1.27.

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION (fees effective 10/01/03)

## 1. FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	<u>770.00</u>
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$)770.00

## 2. CLAIMS

Total Claims	Extra	Fee from below	Fee Paid
13	-20=	0 x 18 =	0
Independent 4	-3=	1 x 86 =	<u>86.00</u>
Multiple Dependent Claims	0 x	290 =	0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim
1204	86	2204	43	Reissue independent claims over original patent
1205	18	2205	9	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)86.00

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR	
				Prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for response within 1st month	
1252	420	2252	210	Extension for response within 2nd month	
1253	950	2253	475	Extension for response within 3rd month	
1254	1,480	2254	740	Extension for response within 4th month	
1255	2,010	2255	1,005	Extension for response within 5th month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
				Petition to revive unavoidably abandoned application	
1452	110	2452	55	Petition to revive unintentionally abandoned application	
1453	1,330	2453	665	Utility issue fee (or reissue)	
1501	1,330	2501	665	Design issue fee	
1502	480	2502	240	Plant issue fee	
1503	640	2503	320	Petitions to the Commissioner	
1460	130	1460	130	Petitions related to provisional applications	
1807	50	1807	50	Submission of IDS	
1806	180	1806	180	Recording each patent assignment per property (times number of properties)	
8021	40	8021	40	Filing a submission after final rejection (37 CFR 1.129(a))	
1809	770	2809	385	For each additional invention to be examined (37 CFR 1.129(b))	
1810	770	2810	385	Request for Continued Examination (RCE)	
1801	770	2801	385	Request for expedited examination of a design application	
1802	900	1802	900		

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

SUBTOTAL (3) (\$)0.00

\*Reduced by Basic Filing Fee paid

## SUBMITTED BY

## Complete (if applicable)

Typed or Printed Name	Bruce H. Bernstein	Reg. Number	29,027
Signature	<i>Leslie D. Bernstein</i>	Date	3/26/04
		Deposit Account User ID	

33,329

P25056.P03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Koichi SHIMOKAWA et al.

Serial No :Not Yet Assigned

Filed : Concurrently Herewith

For : MAGNETIC DISK AND METHOD OF MANUFACTURING SAME

**COVER LETTER ACCOMPANYING U.S. PATENT APPLICATION  
FILED UNDER 37 C.F.R. 1.53(b) and 1.53(f)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Enclosed is a new patent application for filing in the U.S. Patent and Trademark Office under 37 C.F.R. 1.53(b) and 1.53(f) in which the Declaration and Power of Attorney attached thereto are in unexecuted form. A properly executed Declaration and Power of Attorney will be filed within the time period set forth in the Notice to File Missing Parts of Application, unless such time period has been extended by the filing of a petition accompanied by the extension fee under the provisions of 37 C.F.R. 1.136(a).

Related to the above, this application should be associated with Customer Number 7055, which includes the present correspondence address as follows:

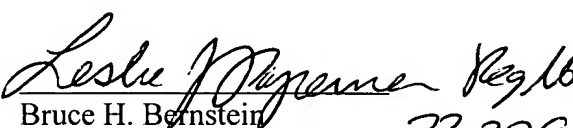
GREENBLUM & BERNSTEIN, P.L.C.  
1950 Roland Clarke Place  
Reston, VA 20191

The above-identified application includes:

- 25 pages of specification with abstract.
- 1 sheet of drawing with 1 figures.
- 13 total claims and 4 independent.
- an unexecuted Declaration and Power of Attorney.

If there are any questions, please contact the undersigned at the below-listed telephone number.

Respectfully submitted,  
Koichi SHIMOKAWA et al.

  
Bruce H. Bernstein  
Reg. No. 29,027

Reg 16  
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March 25, 2004  
GREENBLUM & BERNSTEIN, P.L.C.  
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